Report to the Legislature
Status of the Criminal Justice Information Sharing System

Submitted by
Criminal Justice Information System
Governing Board
January 1, 2011

Table of Contents

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Executive Director

Sean Thakkar

Business Goals and Objectives

- Optimize our current investments in technology and leverage existing infrastructure and resources

- Create a simple way to implement new technologies so that agencies can implement them smoothly

- Develop a secure environment which meets state and federal standards for security

- Provide independent and objective opinions and recommendations to the CJIS Governing Board

- Provide services that are boringly predictable and totally reliable

CJIS Committee Chairs

The committees and their chairpersons are as follows:

Administrative Committee

Larry D'Orsi

Judicial Branch, Court Operations Division

Technology Committee

Evelyn Godbout

Division of Criminal Justice

Implementation Committee

Chief Richard Mulhall

Connecticut Police Chiefs Association (CPCA)

Report to the Legislature

Criminal Justice Information Sharing System

This report is pursuant to Section 40 (h), Public Act 08-01 of the January 2008 Special Session and explains the status of the information sharing system, specified under this legislation. The Criminal Justice Information System (CJIS) Governing Board provides the report.

Organization of the CJIS Governing Board

Public Act 08-01, Section 39, expanded the membership of the CJIS Governing Board. In summary, co-chairs were established and the membership was expanded to include representation from the Legislative Branch through the chairpersons and ranking members of the joint standing committee of the General Assembly on Judiciary. Each member of the CJIS Governing Board may appoint a designee.

The legislation specifies the Chief Court Administrator and a person appointed by the Governor from the CJIS Governing Board membership to be co-chairs. The co-chair appointments were immediately made to facilitate the further organization of the CJIS Governing Board. The Chief Court Administrator designated Judge Patrick L. Carroll III, Deputy Chief Court Administrator, who is one of the co-chairs. The Secretary of the Office of Policy and Management named Lt. Governor Michael Fedele as a designee, who is appointed by the Governor to be the other co-chair.

The table below shows how the CJIS portfolio of programs tracks against the requirements set forth in Public Act 08-01 section 40.

Program / Project	CISS	CIDRIS	OBTS
Provide for Agency Autonomy so they can accomplish missions	✓	✓	✓
Simplify implementation of new technologies	✓	✓	
Develop secure environment, meeting state and federal standards	✓	✓	✓
Provide services that are boringly predictable and totally reliable	✓	✓	
Optimize current investments leverage infrastructure and resources	✓	✓	✓

Accomplishments

The following is a list of major accomplishments since the July 2010 Legislative Report.

Connecticut Information Sharing System (CISS):

- Completed, approved and released the Request For Proposal (RFP)

- Completed the Proposal Evaluation Instructions

- Established the Proposal Review Committee

- Completed and reviewed Cost/Benefit Analysis by the Savings Validation Committee

- Delivered Connecticut Information Sharing System (CISS) Briefing Paper to CJIS Governing Board (Please see Attachment A)

- Completed the exchange and process modeling

- Finalized CISS Requirements

- Finalized CISS Project Structure

- Completed the CISS Staffing Model

- Completed the SDM Business Issues Phase

- Began the SDM Business Requirements Phase

Offender Based Tracking System (OBTS):

- Received formal approval for the new OBTS infrastructure

- Developed an Application Governance Model for OBTS

- Successfully moved the OBTS Release 6.1 application into Business Issues, Business Requirements, and Design phases

- Received and reviewed Sierra's OBTS documentation deliverables required under OBTS' System Acceptance

- Drafted a model annual OBTS Program Tactical Plan that is designed to reflect priorities and commitments achieved through the Application Governance process

- Provided direct training or training support on OBTS to 224 students

Connecticut Impaired Driver Records Information System

- Successfully deployed the CIDRIS application to become transactional on 9/30/10

- Completed and submitted the National Highway Traffic Safety Administration (NHTSA) Final Report to NHTSA. Please see Attached B for the Executive Summary

- Presented NHTSA Final Project Briefing presentation to NHTSA on 11/10/10

CJIS Programs Recommendations for Consideration

1. **Provide adequate support staff, administrative and technical, under the sole and direct supervision of the Executive Director and accountable solely to the Executive Director.**

Impact: The key to success is to have a talented pool of dedicated and skilled personnel under the Executive Director's leadership so that he can provide the thought leadership, expertise and insights to meet the goals and targets that we have set. It also allows him to roll up his sleeves and meet with constituent agencies and assist them with their needs and concerns in a timely manner. Key positions for the CISS project must be in place prior to May 19, 2011.

Impact: Nine key CISS project positions are considered critical to initial phases of the project. It is believed that the state would be best served if these positions were full time state employees. This would allow the State to garner institutional knowledge for CISS application and business requirements of the project. The expected hire dates for the key staff members are:

- 1/27/2011 Hire Senior Business Manager
- 1/27/2011 Hire Senior Program Manager
- 5/19/2011 Hire Senior Technology Architect
- 5/19/2011 Hire two Senior Project Managers
- 5/19/2011 Hire Senior Business Analyst

The expected hire dates for addition project staff members are:

- 7/1/2011 hire 2 Senior staff developers
- 10/1/2011 hire Senior System Administrator

Impact: CJIS Support Group (CSG) made up of eight staff members are currently part of DoIT organization. DoIT transferred one manager Level 2 from the group in July 2010, this position has not been backfilled by DoIT even though they are being reimbursed for this position. Another group member, the Administrative Assistant, has been on extended medical leave since late September, CJIS Governing Board has not been provided a temporary resource for this person resulting in the Executive Director handling all administrative tasks himself.

Recommendations:

1. The Legislature should approve the hiring of the full time employees necessary for the CISS program.

2. The Legislature should require that all CSG positions be established under the CJIS Governing Board and report to the Executive Director. When vacancies occur they should be backfilled, in situations where a staff member is on a long term leave of absence the Executive Director should be able to contract for temporary staff to fill the vacancy.

2. The Bond funding for the CISS project should be approved as soon as possible.

Impact: CISS will allow the criminal justice agencies to do a *lot more with a lot less*, by delivering a *unified information sharing delivery system.* CISS will encompass both OBTS and CIDRIS when it is completed, further reducing the costs associated with these applications. The CISS project requires the bond funding that has been approved by the Legislature, to be set before the bond commission as soon as possible. No contract award can be made untill CJIS Governing Board has the initial $8 million for the project. The implementation of Public Act 08-01 cannot proceed without the funds and the state will not reap the $18 MM a year benefits envisioned for CISS.

Recommendation: The Governor's Office needs to set the bond request before Bond Commission as soon as possible.

3. The Operational funding for CISS should be approved for the next four years.

Impact: CJIS projects are complex and require long term planning for their execution and implementation. A minimum four year planning horizon is required to ensure sufficient staffing and budgetary resources are available to each project to carry it from design to implementation.

CJIS projects are complicated because they cross multiple agency lines and branches of government. This fact alone requires that more time is spent in planning and constructing a solution then in a single agency application. Additionally, the CJIS community's independence requires that more time must be spent in implementing each solution.

Recommendation: The Legislature should adopt a four year $13.72 million budgetary and planning horizon for CISS project.

4. A Service Level Agreement (SLA) should be established with DoIT.

Impact: In order to provide complete transparency and accountability a SLA should be established between CJIS Governing Board and DoIT. The Governing Board must have the ability to compare costs estimated by DoIT with outside firms to determine where to procure the services. The Executive Director has provided DoIT with a proposed Service Level Agreement on June 22nd, 2010, to date no response has been received from DoIT to this proposal. The items for SLA include service availability, disaster recovery, quarterly resource planned activities that are reconciled on a weekly basis.

Recommendation: The Legislature should encourage agency use of SLA agreements as a best practices method of standardizing IT application performance requirements and results based accountability.

5. The CJIS Governing Board should have the ability to set technology standards that are specific to CJIS Community.

Impact: Public Act 08-01 Sections 39 and 40 direct the CJIS Governing Board to set its own technological standards using the best practices available. The Commissioner of DoIT is

represented on the CJIS Governing Board and therefore should be aware of the prescriptions of this public law; however, when the CIDRIS project went into its application design phase, DoIT added two security elements to the CIDRIS application which were viewed by the Project Steering Committee (PSC) as unnecessary and redundant. (The PSC is made up of members delegated by the CJIS Governing Board who are directly affected by the application.)

Recommendation: This CJIS Governing Board and its Executive Director should not be required to expend additional resources to fund security requirements mandated by DoIT which are not considered best practices by the industry and are in excess of what the CJIS Governing Board believes is required.

6. **Language in PA 07-04 JSS Sec. 36 should specify that CJIS Governing Board (rather than DoIT) will receive, at minimum, $1.3 MM in revenue for the CJIS initiatives.**

Impact: The act currently provides no visibility to the CJIS community how the funds are used. DoIT currently makes no report to the CJIS Governing Board on how the funds should be used in support of CJIS activities, and the CJIS Governing Board cannot direct the use of this fund based on the board's priorities. The CJIS Governing Board should be able to control and direct how these funds should be used.

Recommendation: The Legislature should amend section 36 of PA-07-4 JSS to read ". . .any revenue derived by the Department of Information Technology from the contract for the provision of pay telephone service to inmates of correctional facilities that is remaining after any required transfer to the Department of Correction pursuant to section 18-81x of the general statutes, or that is remaining after any of such revenue is made available to ~~Department of Information Technology~~ [the CJIS Governing Board] to administer the criminal justice information system, shall be transferred to the Judicial Department for staffing and services necessary for the state-wide expansion of the Probation Transition Program and the technical violations units."

7. **CJIS Governing Board should have full access to Public Safety Data Network (PSDN) and Connecticut On-Line Law Enforcement Teleprocessing (COLLECT) network for its applications.**

 Impact: It was agreed by the CJIS community five years ago that CIDRIS would utilize the Connecticut On-Line Law Enforcement Teleprocessing (COLLECT) system's network. CIDRIS will utilize the network that was previously approved by the CJIS Governing Board to utilize the secure COLLECT network controlled by the Department of Public Safety (DPS), which transmits secure data from law enforcement throughout the state.

Currently, there is a concern whether the COLLECT network has the bandwidth to accommodate this previously approved application; and the CIDRIS team is required to run tests to determine if the COLLECT network can handle these messages without message compression.

The Department of Public Safety will be implementing Electronic Signature on or about March 1, 2011 and is working with the Judicial Department to allow Electronic Signature on arrest

processing forms. This will greatly reduce the size of the package that will be transmitted through the COLLECT network that should not cause any degradation of the COLLECT network.

If a compression utility is required, the project will have to make an unplanned investment in software, to deploy the application to the remaining DPS troops. The new Public Safety Data Network is a fiber optic network that will have more than ample capacity however; the Public Safety Data Network is not expected to be in production and useable prior to May 2011 and therefore is not immediately available for use by the CIDRIS application.

Recommendation: Provide legislation requiring all CJIS Governing Board applications to use the PSDN and COLLECT network.

8. **Change Conn. Gen. Stat. 54-142q to encompass all CJIS Governing Board applications exemption from FOIA.**

Impact: The Legislature should exempt programs under the CJIS Governing Board portfolio from the provisions of FOIA as it has for the OBTS application. Like the OBTS application, CIDRIS and future CISS application, collect data from source agencies (Agency of Record) to share with criminal justice agencies that have a need for this data. Like OBTS, CIDRIS and CISS are not the source of original entry. FOIA requests should be directed to the agency that collected and entered and data initially.

Recommendation: The Legislature should adopt the proposed legislation submitted by the CJIS Governing Board's Administrative Sub-Committee exempting all CJIS Governing Board portfolio projects from FOIA. (Please see attachment C).

9. **The Budget Expansion request for OBTS and CIDRIS applications should be approved.**

Impact: The biggest value that Offender Based Tracking System (OBTS) provides to the CJIS community is the holistic information on any given offender. The state has invested more than $40 million in this project. The OBTS program requires an expansion budget because in its seven years of operation, it has been funded through Justice Assistance fund. Without a budget line item of its own, OBTS has suffered and will continue to suffer from lack of resources.

The lack of its own line item funding has caused delays in the deployment of a solution, which would improve the efficiency of the application and the quality of data it contains. Since many agencies contribute data to OBTS and consume this data, it is important that the application run on the most efficient platform available and its data quality is impeccable. OBTS is currently positioned to enable its users to *do a lot more with a lot less*, as OBTS delivers on the CJIS vision of a *unified information sharing delivery system*.

CIDRIS is in the process of deploying to all state police troops and is attempting to bring on local law enforcement agencies to increase the utility of the impaired driver database. CIDRIS needs its expansion budget approved to deliver the efficiencies necessary to continue to deploy the application and maintain its operations. CIDRIS reduces redundant data entry and decrease data errors allowing the CIDRIS agencies to *do more with a lot less*. Without this funding, the

CIDRIS will not be able to continue to deliver the *Unified information sharing delivery system.* If the expansion budget requests for OBTS and CIDRIS are not approved, the state, and the taxpayers will not reap the benefits envisioned for these programs.

Recommendation: The Legislature should approve and fully fund the expansion requests for the OBTS and CIDRIS projects.

10. DoIT Connecticut Enterprise Architecture –Technical Architecture (CTEA-TA) Standards – The Legislature should review and revamp the procedures mandated by DoIT.

Impact: There was strong CJIS representation on the DoIT Enterprise Wide Technical Architecture (EWTA) Domain Teams. CJIS Technology Committee members performed much of the research and in some instances, agreed to take on leadership roles on the DoIT Architecture Domain Teams.

At the outset of the Domain Teams formation, the teams were instructed that the goal of the research to be performed should be to select a single product for each category. Weighing strong into every selection was whether a product was already in use by the state. This gave installed products an unfair advantage. This policy appears to be anti-competitive and does not provide sufficient weight for new technologies and offerings. The policy requires agencies to sole source products.

These issues were apparent when the Division of Criminal Justice (DCJ) identified their business and technical requirements for its Infrastructure Upgrade project. The Division required a Storage Area Network (SAN). Since DCJ was under the impression that there were two contracts for SANs in the state, Hewlett Packard and EMC, DCJ performed an analysis of both solutions. The EMC solution quoted to the Division came in at $1,500,000 and the HP solution was $150,000. During the Technical Review Board meeting at DoIT on September 14th, DCJ was instructed that it needed to purchase the EMC state standard SAN unless the Division wanted to pursue a lengthy exception process. DCJ might have to procure additional grants or they will not be able to complete the Infrastructure Upgrade.

In the short time that the current standard has been in effect, the Division of Criminal Justice, the Department of Public Safety, and the Department of Corrections have all had orders or projects that were stalled while the agency was directed to go through the exception process.

Impact: The CTEA-TA specifies software tools for development and testing that are acceptable for use by executive agencies. Each agency is expected to purchase these tools for its IT projects. This means that each agency must have its own tools and pay licensing and maintenance costs for its tool sets. Since the software tools for development and testing are standardized under CTEA-TA it would more economical for all agencies if DoIT were to procure enterprise licenses for these tools and make them available to all agencies conducting software projects.

Recommendation:

1. The CTEA-TA should not be a sole source solution and should provide for competitive and alternative solutions. Additionally, under PA 08-01 the CJIS Community has the authority to set its own technology standards. This language needs to be clarified.

2. DoIT should be directed to procure enterprise licenses for the software development and testing tools mandated by CTEA-TA to reduce the overall costs of procurement for these tools. This will allow the State to *do a lot more with a lot less*.

Connecticut Information Sharing System Status Report

Where We are Today

- A unified information sharing delivery system is the key to preventing tragedies such as the home invasion and triple murders in Cheshire.

- While the focus of Public Act 08.01 is an increase in public and officer safety, the CISS project is also fiscally responsible. With the thoughtful application of new technologies, CISS will reduce costs through easier access to information, increased efficiencies in process, and less rework of data entry errors. By managing the investment in the development of the system, CJIS will generate a cumulative benefit of $59M over the five years of the project.

- CISS increases public and officer safety by providing additional and improved information to criminal justice staff when needed. The system also enhances business efficiency by increasing the velocity of information being exchanged electronically between agencies in a safe and secure manner.

- These capabilities significantly influence and create benefit to society by reducing recidivism, aiding reentry programs, reducing delays in the justice process, and improving overall public safety in Connecticut's communities.

Progress Made to Date

The CISS Program has achieved several milestones:

- The CISS RFP was published on October 1, 2010, two rounds of vendor questions and answers are complete, and 10 vendor letters of intent to bid have been received.

- CISS Project Structure was finalized, the Project Staffing Model was completed, and staffing needs were presented to OPM for inclusion in the FY12-13 Budget.

- The Cost/Benefit Analysis was completed and reviewed by the Savings Validation Committee.

- The Business Issues SDM Phase was completed and Business Requirements are well underway.

- CISS requirements and critical process choices were finalized and included in the RFP released on October 1, 2010.

Next 180 Days Targets

- Review vendor proposals and select a vendor.

- Negotiate and execute a contract.

- Hire key CISS staff (Program manager, Project manager, and key members of the development team)

As these efforts are completed, the CISS program will need to resolve several risks and issues.

Risks and Issues Facing the Project

Risks:

- Agency personnel necessary to work the CISS effort and test the information exchanges are not available and there is no funding in CISS to backfill agency staff if assigned to CISS tasks.
  The mitigation strategy is to work with agencies to allocate staff and add funding to agency budgets for back filling positions. Additionally, information has been provided to agencies to submit Expansion Requests.

- Limited business is being placed on the agenda of the Connecticut State Bond Commission.

- The Business Manager position for CISS is now filled by a contractor not a state employee. This critical position should be a state employee.
  The mitigation strategy is to hire an employee with the right skills and expertise to assist with the CISS project.

Issues:

- This issue involves the Freedom of Information Act (FOIA). The CISS data store is a staging repository and not the official repository of record so it needs legislation to exempt it from FOIA requests and require those requests be submitted to the agencies that are the repository of record.
  The mitigation strategy is for the administrative committee to address the FOIA issue and will develop the approach for legislation.

Conclusion

- CISS was undertaken to comply with Public Act 08.01. CISS will increase public and officer safety by significantly improving information sharing among the justice agencies in the State of Connecticut.

- The system also enhances business efficiencies by increasing the amount and speed of information exchanged electronically.

- The unified information sharing approach can be used to provide similar benefits to many non-justice agencies with minimal investment.

Offender Based Tracking System (OBTS) Project Status Report

Where We are Today

- OBTS is in the process of migrating to a common CJIS technology platform that also hosts CIDRIS. Use of a common platform improves workforce efficiency and allows for tighter controls over hardware and software expenses.

- OBTS currently serves an average of approximately 500 unique users every day.

- OBTS processes approximately 30,000 criminal justice business transactions on a given work day.

- Moving toward implementing a sustainable maintenance model to provide for ongoing incremental improvements to OBTS, based on the prioritized objectives of the business community.

Progress Made to Date

The OBTS Program has achieved several milestones:

- OBTS developed an Application Governance Model in September 2010 and submitted it to the CJIS Governing Board Committees in September as well as the OBTS Application Steering Committee in November 2010.

- OBTS commenced building its new server environments in November 2010.

- OBTS submitted a Budget Expansion Option as part of the FY2012-FY2013 Biennial Budget to lay the framework for an ongoing operational support.

- OBTS provided certification and end-user training for approximately 200 individuals.

Next 180 Days Targets

- Finalize the construction of the new OBTS application server environments.

- Deploy OBTS R6.1 into Production.

- Implement the proposed OBTS Application Governance Model.

- Plan for and commence the upgrade of OBTS into a more current and stable database platform that will save the state $125K annually and allow the state to retire the hardware originally purchased for OBTS back in 2001.

As these efforts are completed, the OBTS program will need to resolve several risks and issues.

Risks and Issues Facing the Project

Risk:

- DoIT Application Hosting has lost key technical support staff to retirements and is not able to replace these key resources. As a result, OBTS is reliant on a single key technical resource to support the OBTS application platform.

Issue:

- OBTS has no operational appropriation and is currently reliant on existing CJIS Carry Forward funds to meet expenses. This fund is expected to be exhausted by the close of FY2011.

Recommendations

1. Executive and Legislative support is requested for approval of the FY2012-FY2013 CJIS Biennial Budget, as submitted by the CJIS Executive Director in September 2010.

2. Replacement of key OBTS business and technical skilled resources is considered critical to ensuring that OBTS can provide effective business and technical support; a concern addressed by the OBTS Application Steering Committee.

3. Develop and implement a Service Level Agreement (SLA) between DoIT and this CJIS Governing Board that clarifies, roles, responsibilities and agreed-upon service levels related to the expectation of DoIT in support of OBTS.

Conclusion

These recommendations do require immediate action and continued, strong legislative support is critical.

Connecticut Impaired Driver Records Information System (CIDRIS) Project Status Report

Where We are Today

- The CIDRIS program is in the implementation phase of the project. The application passed unit, system, and user acceptance testing and is now ready to connect to all the DPS State Police Troops, DMV, and the Superior Courts. Soon the project will reach out to the municipal law enforcement agencies to bring them into the program.

- Currently the application is in limited production while DPS corrects problems with their CAD/RMS system. Once this obstacle is surmounted, CIDRIS will rapidly deploy to all State Police Troops.

Progress Made to Date

Since July 1st, 2010, the CIDRIS Program has achieved several milestones:

- Received the CIDRIS application from its vendor Sierra Systems.

- Constructed all the application environments necessary to successfully test the application and deploy it.

- The CIDRIS Team thoroughly tested the application identifying problems which the vendor corrected immediately.

- CIDRIS is now running its application on the production environment.

Next 180 Days Targets

- Certify other CAD/RMS vendors serving the Connecticut Law Enforcement Community to allow their clients to connect to the CIDRIS application.

- Conduct a band width test with DPS to validate the ability of the secure COLLECT network to accommodate CIDRIS messages.

- Connect all DPS State Police Troops to the CIDRIS Application.

- Prepare permanent application maintenance and support of CIDRIS by CSG.

As these efforts are completed, the CISS program will need to resolve several risks and issues.

Risks and Issues Facing the Project

Risk:

- DoIT has not agreed to take on the permanent application support and maintenance of CIDRIS

Issues:

- The expansion budget request submitted in conjunction with the fiscal year 2012 and 2013 budget request is essential for providing software and hardware maintenance support for the CIDRIS application while the CISS project is under way.

Recommendation

1. Executive and Legislative support is requested for approval of the FY2012-FY2013 CJIS Biennial Budget, as submitted by the CJIS Executive Director in September 2010.

These recommendations do require immediate action and continued, strong legislative support is critical.

CJIS Governing Board Committees' Updates

Administrative Committee

A meeting of the CJIS Administrative Committee was scheduled for Wednesday, December 15, 2010. The meeting was held at 225 Spring Street, Wethersfield, CT, in conference room 204.

The following are a few of the agenda items addressed by the committee:

Proposed legislation to ensure that requests for data from any CJIS system that is available to the general public be directed to the agency from which such data originated. Current law applies this requirement only to the OBTS. The attached draft proposal aims to apply the same criteria to any future CJIS system (Please see Attachment C CJIS 2011 – Legislative Proposals).

A request for access to the OBTS from the Insurance Department - The following is an excerpt of a response to the request that was recently sent to the Insurance Department:

"It appears that CGS 54-142q allows for the sharing of data between criminal justice agencies, as defined in 54-142g(b). 54-142g(b) identifies many agencies, but it does not include the Insurance Department. That section does allow for a component of a public, noncriminal justice agency to be deemed a "criminal justice agency" if "such component is created by statute and is authorized by law and, in fact, engages in activities constituting the administration of justice as its principal function."

So, if you could provide supporting documentation that your component of the Insurance Department is (1) created by statute, (2) is authorized by law, and (3) engages in activities constituting the administration of justice as its principal function, that would enable the administrative committee to better act on your request."

CJIS Data Confidentiality Form – The Committee approved the form to be completed by technical support staff/database administrators of a CJIS project regarding the data confidentiality requirements of the system. This proposed form was modeled after the form currently used for this purpose with the OBTS.

Technology Committee

The Technology Committee held several meetings and workshops during this reporting period. The following are some of the committee's accomplishments.

- Participated in a presentation by the Chairman of the Global Services Task Team with the National Consortium for Justice Information and Statistics (SEARCH).

- Participated in CIDRIS workshops to define message exchanges.

- Participated in CISS workshops to select the top message exchanges to include in the request for proposal.

- Recommended the National Information Exchange Model (NIEM) to the CJIS Governing Board: The goal of the CJIS Community is that all new business technology projects and upgrades adopt NIEM conformance for data exchanges with CISS, OBTS, and CIDRIS.

- Recommended the Portable Document Format / A (PDF/A) as an archiving standard for Document Management Systems to the CJIS Governing Board: The Technology recommended that new CJIS initiatives that include hard copy document scanning, utilize the PDF/A document format whenever possible.

- CJIS Data Dictionary Draft Recommendation: The CJIS Data Dictionary, to remain useful to the CJIS community, needs to:

    - Be maintained in one location accessible by all

    - Be adopted as a standard artifact for CJIS IEPD's

    - Be flexible enough to meet all exchange partner requirements

- Served on the statewide architecture domain teams with DoIT

- Created a draft presentation for the CJIS Governing Board on secure digital communications: Research Options for providing a Certificate Authority to the CJIS Community.

Implementation Committee

The Implementation Committee held no meetings during this reporting period. However, it reports the following accomplishments:

- Creation of the OBTS User Group

- Creation of the AFIS User Group

- Other activity relating to the RFP process for CISS

Attachment A

CJIS Governing Board   *Briefing Paper*
Connecticut Information Sharing System (CISS)

What is CISS?

The CISS project will improve information sharing throughout the state's criminal justice community and will result in increased public and officer safety by providing timely and appropriate information to criminal justice staff when needed. The system will also increase business efficiency by exchanging information electronically between agencies.

The need for governance and oversight of justice information-sharing initiatives was brought to the forefront by a highly publicized crime that may have been prevented if different information-sharing capabilities had been in place. The result was the passage of Public Act 08-01, which requires the establishment of a criminal justice information-sharing system.

What is the CISS business environment?

The CISS business environment is a virtual organization. While the participating agencies and boards represent separate organizations, they will join together to form a distinct and separate enterprise. The business roles and responsibilities for each organization are different yet interdependent. Each individual organization will continue to carry out its unique business processes, while improving on those processes through efficiencies provided by an information-sharing environment. In addition, each agency will carry out the processes of the CISS enterprise.

At the agency level, new practices will be required to support the enterprise. Those practices include a focus on internal systems, business processes, data quality, and data security. All of these factors will impact the quality and value of agency participation in the integration environment.

In addition to the business practices, the business environment will be built around the information exchanged between agencies. During the "as-is" analysis and subsequent reviews, 497 current data exchanges were identified. The "to-be" Justice Information Exchange Model (JIEM) planning session identified 95 additional future exchanges in the CISS environment. If a high level of data integration is achieved, the CISS environment will include new electronic information that can be exchanged between the justice agencies. Much of this information will come from LAW agencies; therefore, LAW agency participation in the integration environment is an important success factor for CISS.

At the enterprise level, agencies will share the responsibility for practices, information exchanges, and processes that include development, implementation, and ongoing support of the CISS environment.

Regarding the CISS business environment, justice agencies require a comprehensive information-sharing solution that supports business operations of all justice agencies, as well as business operations across agency boundaries, and provides timely access to the criminal justice information each agency requires to support its business needs.

The CISS project contacts are listed below.

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CJIS Governing Board	*Briefing Paper*

Connecticut Information Sharing System (CISS)

### What is the CISS technical environment?

The stated intent of the Criminal Justice Information System (CJIS) Blueprint effort is to conform to the most current version of the Justice Reference Architecture (JRA). The choice of the JRA model for the CISS environment is a direct result of the needs, goals, and objectives of the to-be environment. The JRA directly aligns with the defined business focus for the CJIS Blueprint effort. The logical technical to-be model presented in the CJIS Blueprint Project's To-Be Business Environment document depicts the implemented solution conforming to the JRA model. This technology model implements an integration and inquiry solution.

In order to develop the CISS technical environment a CISS support model needs to be in place. That model includes the development of governance approaches, policies, the CISS program, technical support, infrastructure support, and performance measures. Each of these will be addressed with the CISS implementation effort and system development methodology (SDM).

The CISS environment described above applies the JRA. Coupled with the business environment, it will deliver significant improvements for justice agencies and all justice practitioners.

What will the CISS solution's technology look like?

The diagram below illustrates the CISS logical to-be technology model, depicting the implemented solution conforming to the JRA national standard.
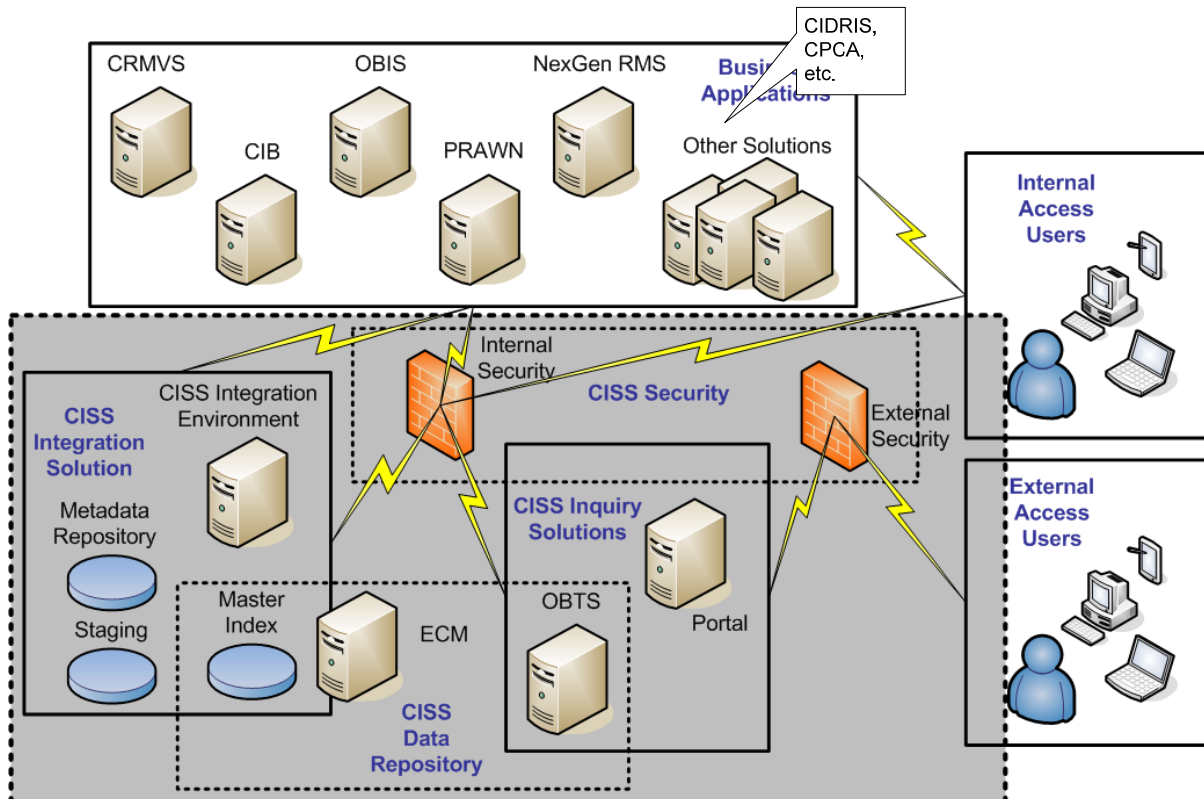
CJIS Governing Board | *Briefing Paper*
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What are the elements of CISS?

The elements of CISS identified in the diagram above are as follows:

- *Internal Access Users* – These are users that connect to the CISS environment through trusted internal networks.
- *External Access Users* – These are users that connect to the CISS environment via semi-trusted or untrusted networks.
- *Business Applications* – These are agency applications that provide day-to-day entry, update, and delete capabilities for agencies to maintain their data.
- *CISS Security* – This represents the security for the CISS environment, used to manage access and information delivery. It follows Global Federated Identity and Privilege Management (GFIPM) standards and logically applies access privileges for users and restrictions to data. CISS security is logically layered into two major levels:
  - » *Internal Security* – A GFIPM-compliant security environment that allows systems and justice agencies' internal users to use the services and capabilities in the CISS environment.
  - » *External Security* – A GFIPM-compliant security environment that allows systems and external users to use the services and capabilities in the CISS environment.
- *CISS Integration Solution* – This JRA-conformant metadata repository is the foundation of the CISS environment. It documents the design and implementation of the CISS integration environment.
  - » *CISS Integration Environment* – The integration environment provides a *highly graphical management environment* that implements services and orchestrates them so that the business model's information exchanges can be easily implemented and managed. Further, the integration environment works with the security layers to ensure a seamless operation of the various capabilities in the environment.
  - » *Master Index* – This element of the CISS integration solution presents four major indexes: person, event, identification, and property. The indexes support the integration and inquiry environments. These indexes are major components of justice information.
    - — *Person* – This is a name index that links names to agency system information, identifiers, events, and property. In addition, it contains demographic information associated with each person entry.
    - — *Event* – This is an index that allows relation and correlation of each event in the justice process. Major events occur throughout the justice process (and have associated dates or documents), including: incident (incident ID), arrest (arrest report), booking (booking ID), charging (charging document), filing (court case), trial (disposition), sentencing (sentence conditions), and release (condition of release).
    - — *Identification* – This index tracks any identification number that is assigned to information in the justice process. It contains three major types of identification: license and card numbers, biometric identification (including fingerprint, DNA, and retina information if captured), and system identifiers.

- *Property* – This index tracks any type of vehicle or property information. By maintaining a master index of property, CISS can rapidly help link information that might otherwise seem unrelated.

  » *Metadata Repository* – This repository supports the organization and maintenance of the CISS environment and supports information about data relationships in CISS. One of the critical aspects of the JRA is the creation and maintenance of metadata for services and other capabilities in the CISS environment.

- *CISS Inquiry Solutions* – There are two primary inquiry solutions in the future CISS model: a CJIS portal that allows enterprise-wide search capabilities and a quasi warehouse (staging area) that provides data capabilities to the CISS environment that are not otherwise available for inquiry, such as incident reports.

  » *Portal* – The portal allows query capabilities that are primarily used to search for information in the justice community. Most queries will be a search of the index, but the CISS environment will also provide two-staged queries that obtain information (as authorized) from agency solutions.

  » *Data Staging (Currently Offender Based Tracking System [OBTS])* – The CISS environment will have a data capability to provide information that may not be available, by design or capability gap, from agency systems. It is expected that OBTS will become the CISS data warehouse and will then transform as other capabilities in the CISS environment replace OBTS functions.

- *CISS Data Repository* – This logical grouping is necessary because the physical implementation may actually store master indexes and data warehouse information (currently OBTS) in different CISS locations, in order to minimize initial change and overall cost.

The overview of the CISS environment diagrammed and described above outlines a system that conforms to JRA specifications and is compliant with GFIPM security standards.

What key decisions have been made for CISS?
The CJIS community has clearly defined three decisions for CISS:

- *Highest Information Exchange Priority* – The submission of incident reports by police agencies to the Division of Criminal Justice (DCJ) is the first priority for information exchange implementation.
- *Department of Public Safety (DPS) Incident Report Location* – DPS wants CISS to store all of the information concerning DPS incident reports in the CISS staging repository.
- *Local Law Enforcement Incident Reports* – The Connecticut Police Chiefs Association (CPCA) wants CISS to store all of the information concerning CPCA incident reports in the CISS staging repository.

These are only the first few decisions of several that will eventually be made during the CISS effort.

Attachment B

October 2010

Connecticut Impaired Driving Records Information System (CIDRIS) v1.0

NHTSA Final Report

Executive Summary

Executive Summary

This report describes the challenges and success of implementing a comprehensive, state-wide information technology system. Designed to collect Operating Under the Influence (OUI) arrests from the point of arrest and transmitting data in near real time to the courts and motor vehicles. This project is the Connecticut Impaired Driving Records Information System (CIDRIS) project.

The bulleted items below summarizes what is entailed in this report:

- The Criminal Justice Information System (CJIS) Governing Board mission statement
- Getting each agency designated by Public Act 08-01 to take their place on the CJIS Governing Board, and nominating senior staff members as alternates. The complete text of this appears in Appendix A
- Designing and implementing a comprehensive, state-wide information technology system per Public Act 08-0 1. CIDRIS is the second of two CJIS projects in the state. The other project is the more comprehensive Offender Based Tracking System (OBTS), now awaiting the successful completion of CIDRIS
- Projects involving multiple agencies find staffing a project with the best people a challenge. Agencies cannot spare their top personnel for a multi-year project engagement when they are not allowed to backfill the lost positions. Often staff that can be spared lack the necessary skills. Contract help is often the only way to staff a project, but when the project ends, the knowledge gained by the contractors is lost to the stakeholder agencies
- Every project requires proper management, but when CIDRIS started out, it did not use appropriate project management tools. Without Project Management Book of Knowledge® Best Practices, CIDRIS lost many weeks until the project fell under the System Development Methodology (SDM) (section **Error! Reference source not found.**)
- Budgeting the project from the beginning to the end is necessary. The budget lifecycle showing the total cost of CIDRIS is available, so the reader can see the actual cost of the nature and scope of this project
- Getting the detailed design approved by the Technical Review Board (TRB) was difficult. The process required extensive interaction between Department of Information Technology (DOIT) and the CIDRIS team
- Every project experiences change controls, this project was no exception. The Data Mart and the Electronic Content Management, as well as additional changes that modified requirements to match stakeholder's needs. Two change control requests added scope to the project not in the original contract
- Leadership and partnerships are key elements to obtain the resources necessary for a successful integrated OUI system
- Project deadlines conflict with adequate testing of new solutions to verify its quality. The project Test and Strategy Plan (**Error! Reference source not found.**) sets firm standards of quality that will not be violated. The CIDRIS project team refuses to compromise quality for the sake of meeting the deadline

- Lessons learned during the development and implementation of the project. The major lesson learned was that failure to follow project management best practices from the very beginning of the project resulted in the loss of valuable time for the CIDRIS project team. This resulted in an accelerated project schedule for construction, testing and implementation
- Conclusion and recommendations

Introduction

Legislative Basis

Connecticut General Statutes (CGS) Sections 14 (Vehicle Highway Use), 53a (Penal Code) and 30 (Intoxicating Liquors) contain the information necessary for the enforcement of alcohol/motor vehicle offenses, traffic violations and related crimes. In Connecticut, operating a motor vehicle while under the influence of alcohol and/or drugs can result in sanctions by the court and/or administrative penalties regarding the offender's license or operating privilege. The Operating Under the Influence (OUI) law does not require the use of a public highway or a private road and applies to the operation of snowmobiles and all-terrain vehicles. CGS § 14-227b requires an administrative license suspension for drivers who refuse to submit to the test or whose test results indicate an elevated Blood Alcohol Content (BAC). The arresting officer prepares a written report to be submitted to DMV along with chemical test results, narrative and any supporting documentation. This report is to be submitted within three business days of the date of the arrest.

Statement of the Problem and Background Information

Every year, almost 43,000 people die on highways and roads in the U.S. Thousands of these deaths occur in alcohol-related motor vehicle accidents. In Connecticut, the Highway Safety Community has sponsored a successful program that reduced fatalities from 1998 to 2002. During the same period, fatalities increased both in New England and nationwide.

Despite its successes, Connecticut has an overall highway loss of over $375 million annually, with the concomitant victim pain and injury. Strengthening programs barring intoxicated drivers from roadways could further reduce these losses.

On average, there are more than 15,000 OUI arrests in Connecticut. During 2004 to 2006, 12,000 of those arrested either were convicted or entered alcohol education programs. However, the courts annually dismissed 3,000 of the arrestees' charges, or reduced the charges to reckless driving. Officers do not know how to interpret this data when making decisions on the highway about a suspected drunk driver.

Therefore, it's crucial for law enforcement to have the most accurate and timely data. Connecticut faces outdated and inaccurate driver, vehicle, and enforcement-adjudication information; along with no records management and tracking system. This hinders law enforcement agencies, licensing agencies, the criminal justice system, and

others in their efforts to enforce, adjudicate, and impose sanctions against impaired drivers.

A mature impaired-driving records management and tracking system will enable the state to deter drunk driving. Lacking this, the justice system faces a myriad of problems. These include delays in reporting or exchanging information about the disposition of traffic citations between the courts and licensing agencies, which often allows guilty drivers to commit additional traffic offenses. Additionally, law enforcement agencies in different districts do not share data about OUI violators. This information gap allows at-risk drivers, to drive repeatedly with virtual invisibility, putting innocent citizens at even greater risk of death, injury, or property loss.

Objectives

The CIDRIS will include the electronic roadside data capture of traffic citations, as well as the retrieval of judicial, criminal offender, and DMV information. CIDRIS will also deliver more timely and accurate driver, vehicle, and enforcement- adjudication information. It will also offer a records management and tracking system that enables law enforcement, licensing, and criminal justice agencies to better adjudicate and impose sanctions against drunk drivers.

More specifically, CIDRIS will allow the state to:

- Appropriately identify, charge, and sanction intoxicated drivers, based on their driving history
- Manage impaired driving cases from arrest through the completion of court and administrative sanctions
- Identify target impaired driver populations and trends, address driving control system flaws, and evaluate counter measures
- Provide stakeholders with the adequate and timely information necessary to fulfill their requirements

Reduce administrative costs for system stakeholders while increasing system efficiencies.

Attachment C

2011 Legislative Proposals – CJIS

Additions are underlined in blue font. Deletions are bracketed in red font.

Conn. Gen. Stat. § 54-142q (1/1/2010). Criminal Justice Information System Governing Board. Membership. Duties and responsibilities. Access to information.

(a) As used in this section, (1) "governing board" means the Criminal Justice Information System Governing Board established in this section, (2) "offender-based tracking system" means an information system that enables, as determined by the governing board and subject to this chapter, criminal justice agencies, as defined in subsection (b) of section 54-142g, the Division of Public Defender Services and the Office of the Federal Public Defender to share criminal history record information, as defined in subsection (a) of section 54-142g, and to access electronically maintained offender and case data involving felonies, misdemeanors, violations, motor vehicle violations, motor vehicle offenses for which a sentence to a term of imprisonment may be imposed, and infractions, and (3) "criminal justice information systems" means the offender-based tracking system and any information system[s] designed to facilitate the exchange of criminal justice data between state criminal justice agencies, departments, boards and commissions having any cognizance over matters relating to law enforcement and criminal justice, organized local police departments and law enforcement officials, or the Division of Public Defender Services, as authorized by statute or by the governing board. [among criminal justice agencies.]

(b) There shall be a Criminal Justice Information System Governing Board which shall be within the Office of Policy and Management for administrative purposes only and shall oversee criminal justice information systems.

(c) The governing board shall be composed of the Chief Court Administrator, the Commissioner of Public Safety, the Commissioner of Emergency Management and Homeland Security, the Secretary of the Office of Policy and Management, the Commissioner of Correction, the chairperson of the Board of Pardons and Paroles, the Chief State's Attorney, the Chief Public Defender, the Chief Information Officer of the Department of Information Technology, the Victim Advocate, the Commissioner of Motor Vehicles, the chairpersons and ranking members of the joint standing committee of the General Assembly on judiciary and the president of the Connecticut Police Chiefs Association. The Chief Court Administrator and a person appointed by the Governor from among the membership shall serve as co-chairpersons. Each member of the governing board may appoint a designee who shall have the same powers as such member.

(d) The governing board shall meet at least once during each calendar quarter and at such other times as the chairperson deems necessary. A majority of the members shall constitute a quorum for the transaction of business.

(e) The governing board shall hire an executive director of the board who shall not be a member of the board and who shall serve at the pleasure of the board. The executive director shall be qualified by education, training or experience to oversee the design and implementation of a comprehensive, state-wide information technology system for the sharing of criminal justice information as provided in section 54-142s. The Office of Policy and Management shall provide office space and such staff, supplies and services as necessary for the executive director to properly carry out his or her duties under this subsection.

(f) The governing board shall develop plans, maintain policies and provide direction for the efficient operation and integration of criminal justice information systems, whether such systems service a single agency or multiple agencies. The governing board shall establish standards and procedures for use by agencies to assure the interoperability of such systems, authorized access to such systems and the security of such systems.

(g) In addition to the requirements of subsection (f) of this section, the duties and responsibilities of the governing board shall be to: (1) Oversee the operations and administration of criminal justice information systems; (2) establish such permanent and ad hoc committees as it deems necessary, with appointments to such committees not restricted to criminal justice agencies; (3) recommend any legislation necessary for implementation, operation and maintenance of criminal justice information systems; (4) establish and implement policies and procedures to meet the system-wide objectives, including the provision of appropriate controls for data access and security; and (5) perform all necessary functions to facilitate the coordination and integration of criminal justice information systems.

(h) A member of the governing board, a member of a permanent or an ad hoc committee established by the governing board, and any person operating and administering the offender-based tracking system shall be deemed to be "state officers and employees" for the purposes of chapter 53 and section 5-141d.

(i) Information that may be accessed by the Division of Public Defender Services or the Office of the Federal Public Defender pursuant to subsection (a) of this section shall be limited to: (1) Conviction information, as defined in subsection (c) of section 54-142g, (2) information that is otherwise available to the public, and (3) information, including nonconviction information, concerning a client whom the division has been appointed by the court to represent and is representing at the time of the request for access to such information.

Conn. Gen. Stat. § 54-142r (1/1/2010). Availability of data in [offender-based tracking system] criminal justice information systems. Procedures for obtaining data.

(a) Any data in a criminal justice information system, [offender-based tracking system,] as defined in section 54-142q, shall be available to the Chief Information Officer of the Department of Information Technology and the executive director of a division of or unit within the Judicial Department that oversees information technology, or to such persons' designees, for the purpose of maintaining and administering said system.

(b) Any data in said system from an information system of a criminal justice agency, as defined in subsection (b) of section 54-142g, that is available to the public under the provisions of the Freedom of Information Act, as defined in section 1-200, shall be obtained from the agency from which such data originated. The Secretary of the Office of Policy and Management shall provide to any person who submits a request for such data to the Criminal Justice Information System Governing Board, pursuant to said act, the name and address of the agency from which such data originated.

> **Intent:** To ensure that requests for data in the systems that is available to the general public be directed to the agencies from which such data originated. Current law applies only to the OBTS. This proposal aims to apply the same criteria to any future CJIS system.

> Data in CJIS systems are provided by numerous different source agencies. As different laws govern the public availability of different agency's data, this proposal aims to ensure that the agency whose data is contributed to a CJIS system is responsible for determining if that data is available to the general public by directing any request for data from the CJIS system to the agency from which such data originated.

Conn. Gen. Stat. § 54-142s (1/1/2010). State-wide information technology system for sharing of criminal justice information. *(For Reference Purposes Only)*

(a) The Criminal Justice Information System Governing Board shall design and implement a comprehensive, state-wide information technology system to facilitate the immediate, seamless and comprehensive sharing of information between all state agencies, departments, boards and commissions having any cognizance over matters relating to law enforcement and criminal justice, and organized local police departments and law enforcement officials.

(b) Such information technology system shall include, without limitation, a central tracking and information database, a central electronic document repository and centralized analytical tools, as provided in subsections (c) to (e), inclusive, of this section, all of which shall be developed with state-of-the-art technology, as provided in subsection (f) of this section, and such other components or elements as are determined to be appropriate or necessary by the board after development of a plan for the design and implementation of such system.

(c) Such information technology system shall include a central, integrated criminal justice tracking and information database that provides:

(1) Complete biographical information and vital statistics for all offenders and former offenders still living; and

(2) Tracking information for all offenders in the criminal justice system, from investigation through incarceration and release, and seamless integration with any electronic monitoring systems, global positioning systems (GPS) and any offender registries.

(d) Such information technology system shall include a central, integrated electronic repository of criminal justice records and documents that provides:

(1) Access to all state and local police reports, presentence investigations and reports, psychological and medical reports, criminal records, incarceration and parole records, and court records and transcripts, whether such records and documents normally exist in electronic or hard copy form; and

(2) Access to scanning and processing facilities to ensure that such records and documents are integrated into the system and updated immediately.

(e) Such information technology system shall include centralized analytical tools, bundled together in a custom-designed enterprise system that includes:

(1) Analytical tools that empower and enhance criminal case assessment, sentencing and plea agreement analysis and pardon, parole, probation and release decisions;

(2) Analytical tools that empower and enhance forecasting concerning recidivism and future offenses for each individual offender; and

(3) Collaborative functionality that enables seamless cross-department communication, information exchange, central note-taking and comment capabilities for each offender.

(f) Such information technology system shall be developed with state-of-the-art relational database technology and other appropriate software applications and hardware, and shall be:

(1) Completely accessible by any authorized criminal justice official through the Internet;

(2) Completely integrated with the state police, organized local police departments, law enforcement agencies and such other agencies and organizations as the governing board deems necessary and appropriate, and their information systems and database applications;

(3) Indexed and cross-referenced by offender name, residence, community, criminal offense and any other data points necessary for the effective administration of the state's criminal justice system;

(4) Fully text searchable for all records;

(5) Secure and protected by high-level security and controls;

(6) Accessible to the public subject to appropriate privacy protections and controls; and

(7) Monitored and administered by the Criminal Justice Information Systems Governing Board, with the assistance of the Department of Information Technology, provided major software and hardware needs may be provided and serviced by private, third-party vendors.

(g) Not later than July 1, 2008, the Criminal Justice Information Systems Governing Board shall issue a request for proposals for the design and implementation of such information technology system and hire a consultant to develop a plan for such design and implementation.

(h) Not later than July 1, 2008, and not later than January first and July first of each year thereafter, the Criminal Justice Information System Governing Board shall submit a report, in accordance with section 11-4a, to the joint standing committees of the General Assembly having cognizance of matters relating to criminal justice and appropriations and the budgets of state agencies concerning the status of the design and implementation of such information technology system. In conjunction with the report submitted not later than January first of each year, the board shall also make a presentation to said committees during the ensuing regular session concerning the status of the design and implementation of such information technology system and a specific itemization of the additional resources, if any, that are needed to achieve such design and implementation.

Attachment D

STATE OF CONNECTICUT
INSURANCE DEPARTMENT

November 16, 2010

Sean Thakka, Executive Director
CJIS Governing Board
450 Capitol Avenue
Hartford, CT 06106-1379

Dear Director Thakkar:

The Connecticut Insurance Department's Fraud & Investigations Unit oversees the surety bail bond industry, insurance fraud investigations and agent misconduct investigations. Our primary focus is to protect the consumer by enforcing the insurance laws of the state of Connecticut.

Our agency is charged with investigating complaints from consumers, the courts, police and even other bondsmen and agents. Unfortunately fraudulent or improper behavior of our producers is on the rise, and the bail bond industry is fraught with problems. Typically the complaints we receive are fairly serious in nature. In particular, the practice of "undercutting" which allows defendants to be released with little or no bail being charged is great cause for concern and one which my office has been actively pursing for years.

Currently, the Connecticut Insurance Department does not have access to a database that provides the information we need to accurately and effectively investigate our licensees. When we need information, we are required to make calls to court clerks, police departments and others asking their assistance in getting files or other information. This process is time consuming for our staff, as well as for those agencies from which we request assistance. It also causes delays in our pursing any investigations since we rely solely on others to get documents to us.

Based on research conducted by our staff, it appears that the Offender Based Tracking System (OBTS) contains much of the data the Insurance Department needs to efficiently investigate our licensees.

Some of our needs include:
- o Offender addresses
- o Court case charges, continuances, dispositions, and sentences
- o Bail decisions and supervision conditions
- o Re-arrest warrants
- o Incarceration location, status and release date.
- o DMV information
- o Police reports

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Therefore, the Connecticut Insurance Department would like to formally request access to the OBTS by a limited number of our staff to protect consumers. Access to this system will greatly improve the Insurance Department's ability to investigate insurance fraud and licensee investigations.

If you have any questions, please do not hesitate to contact the Department's Fraud and Investigations Manager, Amy Stegall, at (860) 297-3889.

Sincerely,

Barbara C. Spear
Acting Insurance Commissioner